

Project Name: Electronic Archival of Closed Case Files
OCIO Project #:
Department: California Department of Social Services
Revision Date:

Concept Statement

Description

Brief description of the proposed project:

Enterprise electronic archival solution for storing closed case records. The initiative would improve the Department's processes by providing efficient storage of a large volume of information that would be easily retrievable for case reviews and minimize storage costs of hard copy records.

Need Statement

High Level Functional Requirements:

Requirements include scanning of essential case file documents (by a contract vendor) at case closure, with storage and retrieval access included. Due to confidential nature of information, scanning must be done onsite. Require the ability to index by multiple factors (ie., case number, decision type, date of birth, full name, last four numbers of SSN, etc.) for retrieval purposes. Scanned documents would need to be backed up and retrievable for disaster recovery purposes. Retention schedule will be provided and program would need automatic delete functionality based on retention policy.

What is Driving This Need?

State Program Program requires electronic archival ability to enhance our access to information and data; in addition, the substantial amount of space currently required to store closed cases on site or at the State warehouse would no longer be required, resulting in cost savings. Immediate and efficient electronic access to all closed records will enhance the level of service to our staff and our customers.

Risk to the Organization if This Work is Not Done:

Not implementing an electronic archival solution leaves the divisions with the increasing need for storage space to accommodate a growing number of documents. Additionally, the divisions spend a great deal of time and money locating and retrieving folders for subsequent actions, mailing the paper cases to the appropriate location and storing paper folders. Storage and retrieval of paper documents is inefficient and reduces the service being offered to our customers.

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Benefit Statement

Intangible Benefits

Process Improvements (describe the nature of the process improvement):

Eliminates storage of over 100,000+ closed state hearings, Medi-Cal disability and legal division case files annually and eliminates subsequent storage at State Archives for up to 50 additional years. Facilitates retrieval of closed cases.

Other Intangible Benefits:

Tangible Benefits

Revenue Generation (describe how revenue will be generated):

Cost Savings (describe how cost will be reduced):

DDSD-SP could reduce the amount of square footage required for its branches, where currently 30,000 case folders are stored at each site. Cost of storage at, and retrieval from, the State Archives would be eliminated - also eliminates cost of staff time required to initiate storage and retrieval. CDSS State Hearings Division (SHD) staff could have access to the data and eliminate the need for DDSD staff to retrieve and forward to SHD for hearings. Legal division would not require storage at state archives.

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Cost Avoidance (describe the cost and how avoided):

Risk Avoidance (describe the risk and how avoided):

Improved Services:

Provides more efficient storage and retrieval process allowing faster service to DDSD-SP staff, CDSS SHD and the CWDs.

Consistency

| "No" Responses  | | Rationale | Action Required |
|---|-----|-----------|-----------------|
| Enterprise Architecture | Yes | | |
| Business Plan | Yes | | |
| Strategic Plan | Yes | | |
| | | | |

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Impact to Other Agencies

Nature of Impact to Other Agencies

| |
|---|
| Agency: |
| <i>Describe the nature of the impact:</i> |
| |

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| Agency: |
| <i>Describe the nature of the impact:</i> |
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| Agency: |
| <i>Describe the nature of the impact:</i> |
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| Agency: |
| <i>Describe the nature of the impact:</i> |
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Impact to Other Programs

Nature of Impact to Other Programs

| |
|---|
| Program: |
| <i>Describe the nature of the impact:</i> |
| |

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| Program: |
| <i>Describe the nature of the impact:</i> |
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| Program: |
| <i>Describe the nature of the impact:</i> |
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|---|
| Program: |
| <i>Describe the nature of the impact:</i> |
| |

Solution Alternatives

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|-----------------------|
| Alternative 1: |
| |

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Technical Considerations for Alternative 1:

ROM Cost: to

Note: high end of range must not exceed 200% of low end of range

Alternative 2:

Technical Considerations for Alternative 2:

ROM Cost: to

Note: high end of range must not exceed 200% of low end of range

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Alternative 3:

Technical Considerations for Alternative 3:

ROM Cost: to

Note: high end of range must not exceed 200% of low end of range

Recommendation

Comparison:

| Alternative 1 | ROM Cost | Risk |
|---------------|-----------|------|
| | \$0 - \$0 | |
| Alternative 2 | ROM Cost | Risk |
| | \$0 - \$0 | |
| Alternative 3 | ROM Cost | Risk |
| | \$0 - \$0 | |

Conclusions:

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Recommendation:

Project Approach *(if known)*

| | | | | | |
|---|--|---|---|--|-------------------------|
| System Complexity: | | | System Business Hours: <i>(e.g., 24x7, 9am-5pm)</i> : | | |
| Architecture | <input type="checkbox"/> Mainframe | <input type="checkbox"/> Client Server | <input checked="" type="checkbox"/> Web Based | | Num. of New Databases: |
| Technology | <input type="checkbox"/> New | <input checked="" type="checkbox"/> New to Staff | <input type="checkbox"/> In-House Experience | | Interfaces: |
| Implementation | <input type="checkbox"/> Central Site | <input checked="" type="checkbox"/> Phased Roll-out | | | Num. of Sites: |
| M & O Support | <input checked="" type="checkbox"/> Contractor <input type="checkbox"/> Data Center <input type="checkbox"/> Project <input type="checkbox"/> Returned to Sponsor | | | | |
| Procurement Approach: <i>(consult with OSI Procurement Center)</i> | | | | | Number of Procurements: |
| Open Procurement? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No | | | Delegated Procurement? <input type="checkbox"/> Yes <input type="checkbox"/> No | | |
| Scope of Contract | <input checked="" type="checkbox"/> Development <input checked="" type="checkbox"/> Implementation <input checked="" type="checkbox"/> M & O <input type="checkbox"/> Other: | | | | |
| Anticipated Length of Contract: | | | Years / extensions for years | | |